

**IN THE UNITED STATES BANKRUPTCY COURT
FOR THE DISTRICT OF DELAWARE**

In re:

HUMANIGEN, INC.,¹

Debtor.

Chapter 11

Case No. 24-10003 (BLS)

LIST OF EQUITY SECURITY HOLDERS

Pursuant to Federal Rule of Bankruptcy Procedure 1007(a)(3), Humanigen, Inc., as debtor and debtor in possession in the above-captioned chapter 11 case, hereby files its List of Equity Interest Holders, attached hereto as Exhibit A.

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¹ The Debtor's mailing address in this chapter 11 case is 533 Airport Boulevard, Suite 400, Burlingame, CA 94010 and the last four digits of the Debtor's federal tax identification number are 7236.

Dated: January 9, 2024
Wilmington, Delaware

Respectfully submitted,

/s/ Brett M. Haywood

M. Blake Cleary (No. 3614)

Aaron H. Stulman (No. 5807)

Brett M. Haywood (No. 6166)

Sameen Rizvi (No. 6902)

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Proposed Counsel to the Debtor and Debtor in Possession

Exhibit A

Equity Holder	Address	Approximate Number of Shares Held
ABN AMROCC	Attn: Proxy Dept. 175 W. Jackson Blvd. Suite 2050 Chicago, IL 60605	300 Shares of Common Stock
AEIS Advisors	Attn: Greg Wraaslstad/Proxy Mgr. 901 3rd Ave. South Minneapolis, MN 55474	80007 Shares of Common Stock
Apex/Etrade	c/o Broadridge Securities Processing Attn: Yasmine Casseus 2 Gateway Ctr 283-299 Market St., 16 th Floor Newark, NJ 07102	2014410 Shares of Common Stock
Axos Clearing LLC	Attn: Corporate Actions Dept. 1200 Landmark Ctr, Ste. 800 Omaha, NE 68102-1916	67349 Shares of Common Stock
Bank of New York Mellon	Attn: Event Creation 500 Grant St. Room 151-1700 Pittsburgh, PA 15258	1085101 Shares of Common Stock
Bank of New York Mellon	Attn: Event Creation 500 Grant St. Room 151-1700 Pittsburgh, PA 15258	44749 Shares of Common Stock
BMO Nesbitt Burns/CDS	Attn: Phuthorn Penikett 250 Yonge St., 14th Fl. Toronto ON M5B 2M8 Canada	1128516 Shares of Common Stock
BNP Paribas/CUST	Attn: Proxy Dept. 525 Washington Blvd., 9 th Fl. Jersey City, NJ 07310	617 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
Bank of America/Global Wealth and Investment Management Test Operations	Attn: Corporate Actions Manager 901 Main St., 12 th Floor Dallas, TX 75202	12510 Shares of Common Stock
Bank of America Securities	Attn: Earl Weeks or Proxy Dept. c/o Merrill Lynch Corp. Actions 4804 Deer Lake Dr. E. Jacksonville, FL 32246	174847 of Common Stock
Bank of America Securities	Attn: Earl Weeks or Proxy Dept. c/o Merrill Lynch Corp. Actions 4804 Deer Lake Dr. E. Jacksonville, FL 32246	63 Shares of Common Stock
Barclays Capital	Attn: Corporate Actions/Reorg 745 7th Ave., 3rd Fl. New York, NY 10019	85591 Shares of Common Stock
Brown Bros Harriman & Co	Attn: Corporate Actions/Vault 140 Broadway New York, NY 10005	4608 Shares of Common Stock
Canaccord Genuity/CDS	Attn: Ben Thiessen or Proxy Dept. 10337 Pacific Centre 2200-609 Granville St. Vancouver, BC V7Y 1H2 Canada	198094 Shares of Common Stock
CDS Clear & Depository	Attn: Loretta Verelli/Proxy Mgr. 600 Boulevard De Maisonneuve Quest Bureau 210 Montreal QC H3A 3J2 Canada	2400 Shares of Common Stock
Cetera	Attn: Angela Handeland/Proxy Mgr. 400 1st St. South, Ste. 300 St. Cloud, MN 56301	10 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
Citibank	Attn: Daryl Slater/Reorg Mgr. 3800 Citibank Center B3-12 Tampa, FL 33610	16185223 Shares of Common Stock
Charles Schwab & Co.	Attn: Christina Young/Proxy Mgr. 2423 East Lincoln Dr. Phoenix, AZ 85016-1215	17089 Shares of Common Stock
CI Investment Services/CDS	Attn: Deborah Carlyle/Proxy Mgr. 4100 Yonge St., Suite 504A Toronto ON M2P 2G2 Canada	56180 Shares of Common Stock
CIBC World Markets/CDS	Attn: Reed Jon or Proxy Dept. 22 Front St. W., 7th Floor Toronto ON M5J 2W5 Canada	21913614 Shares of Common Stock
Citibank, N.A.	Attn: Sherida Sinanan/Proxy Dept. 3801 Citibank Center B/3 rd Floor/Zone 12 Tampa, FL 33610	1600 Shares of Common Stock
Clear Street LLC	Attn: Proxy Mgr. 55 Broadway, Ste. 2102 New York, NY 10006	15792 Shares of Common Stock
Credential Securities Inc.	Attn: Danielle Montanari/Proxy Mgr. 700 - 1111 W. Georgia St. Vancouver BC V6E 4T6 Canada	195439 Shares of Common Stock
Crest International Nominees Ltd.	Attn: Nathan Ashworth/Proxy Mgr. 33 Cannon St. London EC4M 5SB United Kingdom	145100 Shares of Common Stock
Deutsche Bank	Attn: Reorg Manager 5022 Gate Pkwy, Ste. 200 Jacksonville, FL 32256	34534 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
Desjardins Securities Inc.	Attn: Karla Diaz/Valuers MOB. 2 Complexe Desjardins Tour Est. Niveau 62 Montreal QC H5B 1B4 Canada	265551 Shares of Common Stock
Drivewealth, LLC	Attn: Proxy Mgr. 15 Exchange Place Jersey City, NJ 07302	18695 Shares of Common Stock
Edward Jones	Attn: Derek Adams or Proxy Dept. Corporate Acts & Distribution 12555 Manchester Road St. Louis, MO 63131	35595 Shares of Common Stock
Edward Jones/CDS	Attn: Nick Hummell or Proxy Mgr. 12555 Manchester Rd. St. Louis, MO 63131	550 Shares of Common Stock
Folio Investments, Inc.	Attn: Ashley Theobald/Proxy Mgr. 8180 Greensboro Dr., 8 th Floor McLean, VA 22102	28 Shares of Common Stock
Futu Clearing Inc.	Attn: Collette Rx 12750 Merit Dr., Ste 475 Dallas, TX 75251	854258 Shares of Common Stock
Goldman Sachs	Attn: Meghan Sullivan/Proxy Dept. 30 Hudson St. Jersey City, NJ 07302	61739 Shares of Common Stock
Haywood Securities Inc./CDS	Attn: Proxy Manager 400 Burrard St., Suite 700 Vancouver BC V6C 3L6 Canada	1250 Shares of Common Stock
Hilltop Securities	Attn: Proxy Dept. 1201 Elm St., Ste. 3500 Dallas, TX 75270	16500 Shares of Common Stock
HSBC Bank USA/Clearing	Attn: Barbara Skelly/Proxy Mgr. 545 Washington Blvd., 10 th Floor Jersey City, NJ 07310	345305 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
Interactive Brokers	Attn: Karin McCarthy/Proxy Dept. 2 Pickwick Plaza, 2nd Fl. Greenwich, CT 06830	4598802 Shares of Common Stock
International FCStone Financial, Inc.	Attn: Ken Simpson or Proxy Mgr. 2 Perimeter Park Suite 100W Birmingham, AL 35209	460 Shares of Common Stock
Janney Montgomery Scott Inc.	Attn: Kurt Dodds or Proxy Mgr. 1717 Arch St, 17th Fl. Philadelphia, PA 19103	6415 Shares of Common Stock
JPMorgan Chase	Attn: C. Manos/M. Green 575 Washington Blvd., 6th Fl. Jersey City, NJ 07310	116970 Shares of Common Stock
JPMorgan Chase	Attn: C. Manos/M. Green 575 Washington Blvd., 6th Fl. Jersey City, NJ 07310	404770 Shares of Common Stock
J.P. Morgan/Clearing	Attn: Corporate Actions Team 500 Stanton Christiana Rd. Newark, DE 19713	3050 Shares of Common Stock
KeyBank National Association	Attn: William Webber/Proxy Mgr. 4900 Tiedeman Rd. Brooklyn, OH 44144	900 Shares of Common Stock
Leede Financial Markets	Attn: Craig Goodwin or Proxy Mgr. First Alberta Place 777 8 th Ave SW, Ste. 2300 Calgary AB T2P 3R5 Canada	133197 Shares of Common Stock
LPL Financial Corp.	Attn: Corporate Actions 1055 LPL Way Fort Mill, SC 29715	1497830 Shares of Common Stock
Morgan Stanley & Co.	Attn: MS Proxy Dept. 1300 Thames St. Wharf Baltimore, MD 21231	953246 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
Morgan Stanley & Co.	Attn: MS Proxy Dept. 1300 Thames St. Wharf Baltimore, MD 21231	12915931 Shares of Common Stock
NBCN Inc./CDS	Attn: Daniel Ntap or Proxy Mgr. 1010 De La Gauchetiere Ouest Suite 1925 Montreal QC H3B 5J2 Canada	132225 Shares of Common Stock
National Financial Services	Attn: Sean Cole or Proxy Dept. Newport Office Center III 499 Washington Blvd. Jersey City, NJ 07310	12408987 Shares of Common Stock
The Northern Trust Co.	Attn: Andrew Lussen or Proxy Mgr. 801 S. Canal St. Capital Structures-C1N Chicago, IL 60607	585 Shares of Common Stock
Oppenheimer & Co. Inc.	Attn: Colin Sandy or Proxy Mgr. 85 Broad St, 4th Fl. New York, NY 10004	34580 Shares of Common Stock
Pershing	Attn: Joseph Lavara/Proxy Dept. 1 Pershing Plaza Jersey City, NJ 07399	13784598 Shares of Common Stock
Phillip Capital Inc.	Attn: Proxy Manager 141 W Jackson Blvd. CBOT Bldg., Ste. 3050 Chicago, IL 60604	346861 Shares of Common Stock
PI Financial Corp./CDS	Attn: Rob McNeil or Proxy Mgr. 666 Burrard St. Suite 1900 Vancouver BC V6C 2G3 Canada	1863 Shares of Common Stock
Questrade Inc./CDS	Attn: Al Nanji or Proxy Mgr. 5650 Yonge St. Toronto ON M2M 4G3 Canada	416810 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
Robert W. Baird & Co Inc.	Attn: Corporate Actions 777 E Wisconsin Ave., 9th Fl. Milwaukee, WI 53202	37516 Shares of Common Stock
Raymond James Associates Inc.	Attn: Roberta Green or Proxy Mgr. 880 Carilion Parkway Tower 2, 4 th Floor St. Petersburg, FL 33716	633032 Shares of Common Stock
Raymond James Ltd./CDS	Attn: Jeff Lunshof or Proxy Mgr. 2100-925 W. Georgia St. Vancouver BC V6C 3L2 Canada	155 Shares of Common Stock
RBC Dominion /CDS	Attn: Proxy Manager 2 Bloor St. E # 2300 Toronto ON M4W 1A8 Canada	555995 Shares of Common Stock
RBC Capital Markets Corp.	Attn: Steve Schafer or Proxy Mg. 60 S. 6th St. - P09 Minneapolis, MN 55402-1106	1069412 Shares of Common Stock
Reliance Trust Co.	Attn: Tonie Montgomery 1100 Abernathy Rd. Atlanta, GA 30328	119 Shares of Common Stock
Robinhood Securities, LLC	Attn: Mehdi Taifi 500 Colonial Ctr. Pkwy #100 Lake Mary, FL 32746	7393980 Shares of Common Stock
Safra Securities	Attn: Proxy Manager 546 Fifth Avenue New York, NY 10036	247 Shares of Common Stock
Scotia Capital/CDS	Attn: Evelyn Pande or Proxy Dept. Scotia Plaza 40 King St. West, 23 rd Fl. Toronto, ON M5H 1H1 Canada	82176 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
SEI Private Trust Co.	Attn: Eric Greene or Proxy Mgr. One Freedom Valley Dr. Oaks, PA 19456	1678 Shares of Common Stock
SG Americas Securities, LLC	Attn: Paul Mitsakos or Proxy Mg. 1221 Avenue of the Americas New York, NY 10020	14 Shares of Common Stock
State Street	Attn: Proxy Dept. 1776 Heritage Drive North Quincy, MA 02171	127104 Shares of Common Stock
State Street	Attn: Proxy Dept. 1776 Heritage Drive North Quincy, MA 02171	2300 Shares of Common Stock
Stifel Nicolaus & Co.	Attn: Chris Wiegand/Proxy Dept. c/o Mediant Communications 501 N. Broadway St. Louis, MO 63102	286364 Shares of Common Stock
StockCross Financial Services	Attn: Diane Tobey or Proxy Mgr. 77 Summer St. Boston, MA 02210	6200 Shares of Common Stock
TD Ameritrade Clearing, Inc.	Attn: Mandi Foster or Proxy Mgr. 200 S. 108th Ave. Omaha, NE 68154	12892783 Shares of Common Stock
TD Waterhouse Canada Inc./CDS	Attn: Yousuf Ahmed or Proxy Mgr. 77 Bloor St. West 3 rd Floor Toronto, ON M4Y 2T1 Canada	997540 Shares of Common Stock
TradeStation Securities	Attn: Corporate Actions 8050 SW 10th St., Ste 2000 Plantation, FL 33324	208261 Shares of Common Stock
Marsco Investment Corp.	Attn: Karen Jacobsen/Proxy Mgr. 101 Eisenhower Pkwy. Roseland, NJ 07068	7673 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
Texas Treasury Safekeeping Trust Co.	Attn: Janie Dominguez/Proxy Mgr. 208 E. 10th St. Room 410 Austin, TX 78701	10 Shares of Common Stock
UBS Financial Services LLC	Attn: Jane Flood/Proxy Dept. 1000 Harbor Blvd. Weehawken, NJ 07086	102479 Shares of Common Stock
UBS Securities LLC	Attn: Michael Hallet/Proxy Mgr. Proxy Department 315 Deadrick St. Nashville, TN 37238	187 Shares of Common Stock
UBS Securities LLC	Attn: Michael Hallet/Proxy Mgr. Proxy Department 315 Deadrick St. Nashville, TN 37238	44 Shares of Common Stock
U.S. Bancorp Investments	Attn: Kevin Brown or Proxy Mgr. 60 Livingston Ave. St. Paul, MN 55107-1419	4430 Shares of Common Stock
U.S. Bank N.A.	Attn: Paul Kuxhaus or Proxy Mgr. 1555 N. River Center Dr. Scottsdale, AZ 85260	1380 Shares of Common Stock
Vanguard Marketing Corp.	Attn: Ben Beguin or Proxy Mgr. 14321 N. Northsight Blvd. Scottsdale, AZ 85260	759262 Shares of Common Stock
Velox Clearing LLC	Attn: Proxy Mgr. 2400 E. Katella Ave. Suite 725 Anaheim, CA 92806	191674 Shares of Common Stock
Velocity Clearing	Attn: Alfred Pennisi or Proxy Mgr. 100 Wall Street 26 th Floor New York, NY 10005	450 Shares of Common Stock

Equity Holder	Address	Approximate Number of Shares Held
Virtu Americas LLC	Attn: Janica Brink or Proxy Mgr. 300 Vesey St. New York, NY 10282	9113 Shares of Common Stock
Vision Financial Markets LLC	Attn: OPS Dept. 120 Long Ridge Rd., 3 North Stamford, CT 06902	104198 Shares of Common Stock
Wedbush Morgan Securities Inc.	Attn: Alan Ferreira or Proxy Mgr. 1000 Wilshire Blvd., Ste #850 Los Angeles, CA 90030	25700 Shares of Common Stock
Wedbush Morgan Securities Inc.	Attn: Alan Ferreira or Proxy Mgr. 1000 Wilshire Blvd., Ste #850 Los Angeles, CA 90030	40994 Shares of Common Stock
Wells Fargo Clearing Services	Attn: Proxy Dept. One North Jefferson Ave. St. Louis, MO 63103	273994 Shares of Common Stock